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Item 5 of the provisional agenda
Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

The extent of the matching of nationally appropriate mitigation actions with financial, technical and capacity-building support in the registry of nationally appropriate mitigation actions

Note by the secretariat

Summary

This document contains a report on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the registry of nationally appropriate mitigation actions. It also summarizes information on the activities of the secretariat to engage with Parties and entities to support them in using the registry.

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Contents

		Paragraphs	*Page*
I.	Introduction	1–3	3
	A. Mandate	1–2	3
	B. Scope of the note	3	3
II.	Information on the extent of the matching of mitigation actions with support under the registry and recorded sources of support	4–7	3
	A. The supported nationally appropriate mitigation actions under the registry	4–6	3
	B. Sources of support recorded in the registry	7	5
III.	Engagement and support activities for relevant Parties and entities	8–13	6
	A. Efforts of the secretariat to engage with and support Parties and entities	8–12	6
	B. Future activities	13	7
Annex			
	An analysis of information relating to the extent of the matching, the support available and the engagement with entitites		9

I. Introduction

A. Mandate

1. The Subsidiary Body for Implementation (SBI), at its thirty-ninth session, requested the secretariat to report to SBI 40 and 41 on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the registry pursuant to decision 1/CP.18, paragraph 19(c), for consideration by the Parties.[1]

2. The Conference of the Parties (COP), at its eighteenth session, requested the secretariat to:

(a) Continue to provide technical assistance to the Parties and entities referred to in decision 2/CP.17, paragraphs 46–48, in using the registry;[2]

(b) Engage with the Parties and entities referred to in decision 2/CP.17, paragraph 48, to facilitate the provision of information on support.[3]

B. Scope of the note

3. In response to the above mandate, this note provides information on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the registry. It also highlights information on the sources of support available under the registry and presents an overview of the activities of the secretariat to engage with and support Parties and entities to increase the use of the registry and facilitate the matching of financial, technical and capacity-building support with the mitigation actions. It is divided into two parts, as follows:

(a) Chapter II summarizes information on the extent of the matching of mitigation actions with support under the registry as well as on sources of support that have been recorded in the registry;

(b) Chapter III presents an overview of the secretariat's activities to engage with and support Parties and entities to increase the use of the registry and facilitate the matching of support with mitigation actions.

II. Information on the extent of the matching of mitigation actions with support under the registry and recorded sources of support

A. The supported nationally appropriate mitigation actions under the registry

4. As at 6 November 2014, the following information had been recorded in the registry:

(a) Twenty-one nationally appropriate mitigation actions (NAMAs) seeking support for preparation;

[1] FCCC/SBI/2013/L.8, paragraph 6(a).
[2] Decision 16/CP.18, paragraph 11(c).
[3] Decision 16/CP.18, paragraph 11(d).

(b) Thirty-seven NAMAs seeking support for implementation;

(c) Four NAMAs for recognition;

(d) Fourteen entries with information on support for NAMAs;

(e) Eight entries on the matching of NAMAs with support.

5. As at 6 November 2014, the registry had recorded a total of eight entries on the matching of NAMAs with support recorded in the registry. The registry recorded six additional entries during this reporting period in addition to the two entries recorded in the previous reporting period.

6. Table 1 provides an overview of supported NAMAs in the registry. The amount of support that has been matched to NAMAs amounts to USD 27,430,492.[4]

Table 1
An overview of supported nationally appropriate mitigation actions in the registry

Origin	*Support sources*	*NAMAs*	*Parties*	*Type of support*	*Amount of support (USD)*
Austria	Support for activities related to the sustainable management of forests (S-99)	Adaptive Sustainable Forest Management in Borjomi-Bakuriani Forest District (NS-85)	Georgia	Financial	1 940 492
International	Global Environment Facility Trust Fund (S-63)	NAMAs for low-carbon end-use sectors in Azerbaijan (NS-95)	Azerbaijan	Financial	100 000
International	Global Environment Facility Trust Fund (S-63)	NAMAs for low-carbon urban development in Kazakhstan (NS-124)	Kazakhstan	Financial	5 930 000
Japan	Official development assistance for climate change measures (S-122)	Expansion of existing heating network in Valjevo (NS-31)	Serbia	Technical	960 000
Japan	Official development assistance for climate change measures (S-122)	Introduction of metering system and billing on the basis of measured consumption in district heating systems in Serbia (NS-32)	Serbia	Capacity-building	
Japan	Official development assistance for climate change measures (S-122)	Use of solar energy for domestic hot water production in the "Cerak" heat plant in Belgrade (NS-33)	Serbia	Capacity-building	

[4] The detailed analysis of information relating to the matching of NAMAs with support under the registry can be found in section I of the annex.

Origin	*Support sources*	*NAMAs*	*Parties*	*Type of support*	*Amount of support (USD)*
Spain	Spanish NAMA Platform (S-143)	High Integration Program of Wind Energy (NS-4)	Uruguay	Financial, technical and capacity-building	
Germany, United Kingdom of Great Britain and Northern Ireland	NAMA Facility (S-62)	Colombia TOD NAMA (NS-127)	Colombia	Financial	18 500 000

Abbreviation: NAMAs = nationally appropriate mitigation actions.

B. Sources of support recorded in the registry

7. As at 6 November 2014, 14 entries on support had been recorded in the registry. Out of 14 sources of support, 9 are available for the preparation of NAMAs, 4 for the implementation of NAMAs and 1 for both preparation and implementation. Table 2 presents the summary of sources of support recorded in the registry.[5]

Table 2
Summary of sources of support recorded in the nationally appropriate mitigation action registry

Source of support	*Origin*	*Support available*
Climate-related ODA funding	Germany	Grants and concessional loans for the preparation of NAMAs in all countries
International Climate Initiative	Germany	Grants and loans for the preparation of NAMAs in all countries
NAMA facility	Germany/United Kingdom of Great Britain and Northern Ireland	Grants and concessional loans for the implementation of NAMAs in all countries
Global Environment Facility Trust Fund	International	Grants for the preparation and implementation of NAMAs in all countries
EU–Africa Infrastructure Trust Fund	12 EU countries	Grants, guarantees and equity for the preparation of NAMAs in Eastern European, Middle Eastern and North African countries
Neighbourhood Investment Facility	EU	Grants, guarantees and equity for the preparation of NAMAs in Eastern European and North African countries
Latin American Investment Facility	EU	Grants and loans for the implementation of NAMAs in Latin American and Caribbean countries

[5] The detailed analysis of information relating to sources of support is presented in section III of the annex.

Source of support	*Origin*	*Support available*
Austrian NAMA Initiative	Austria	Grants and carbon finance for the preparation of NAMAs in African States, least developed countries and small island developing States
Support for activities related to the sustainable management of forest	Austria	Grant for the implementation of NAMAs in the Caucasus region
ODA for climate change measures	Japan	Grants, concessional loans and technical assistance for the preparation of NAMAs in all countries
Inter-American Development Bank support for the design, development and implementation of NAMAs in the Latin American and Caribbean region	Regional	Grants, loans and guarantees for the preparation of NAMAs in Latin American and Caribbean countries and small island developing States
Spanish NAMA Platform	Spain	Loans, guarantees, equity and carbon finance for the preparation of NAMAs in all countries
FAOSTAT Emissions Database	Food and Agriculture Organization of the United Nations	Capacity-building and technical support for the preparation of NAMAs in all countries in the agriculture and forestry sectors
NEFCO Carbon Finance and Funds	Nordic Environment Finance Corporation	Grants and carbon finance for the preparation of NAMAs in Asia and the Pacific, Latin American and the Caribbean countries

Abbreviations: EU = European Union, NAMAs = nationally appropriate mitigation actions, ODA = official development assistance.

III. Engagement and support activities for relevant Parties and entities

A. Efforts of the secretariat to engage with and support Parties and entities

8. Recognizing that the limited awareness of the potential and benefits of the registry among Parties and entities is one of the reasons for limited entries in the registry, the secretariat engaged with Parties and entities to increase the registry use and facilitate the matching of NAMAs with support under the registry in line with decision 16/CP.18, paragraph 11(c) and (d).

9. The secretariat undertook a first phase of outreach and support activities during the reporting period (from February to November 2014). The activities aimed to promote the use of the registry among Parties and support providers by:

(a) Communicating to them the potential role of the registry;

(b) Showcasing information on mitigation actions and support;

(c) Highlighting the associated benefits of recording information in the registry.[6]

10. A total of 103 entities were identified and contacted for engagement and support activities, which were categorized into the following three priority groups:

(a) Priority group one: entities which have provided or received support for NAMAs but have not made entries in the registry;

(b) Priority group two: entities likely to support NAMAs;

(c) Priority group three: new NAMA proponents seeking support for the preparation/implementation of NAMAs but which have not made entries in the registry.

11. Out of 103 entities contacted, 21 entities (more than 20 per cent) showed their interest in using the registry and 15 entities (almost 15 per cent) showed interest followed by the actual use of the registry. However, there remained two thirds of contacted entities which were not interested in using the registry. Most of these entities (63 entities, 61 per cent) did not respond at all, and 4 entities (nearly 4 per cent) were not interested in using the registry.[7]

12. According to the responses, the following factors may prevent a more active use of the registry:

(a) Providers of support primarily based on investment capital from the private sector expressed concern in attracting conspicuous amounts of projects not feasible to their investments;

(b) Similarly, organizations providing indirect technical and capacity-building support do not clearly understand how to include their activities in the registry;

(c) Some providers of support expressed the need for clearer forecasting of the consequences of using the registry in terms of workload and communication impacts;

(d) For some of the Parties not included in Annex I to the Convention, the level of engagement in NAMA-related activities is at an early stage that prevents them from using the registry.

B. Future activities

13. In 2015 the secretariat will focus on engaging with and supporting Parties and entities in the effective and increased use of the registry. Particular emphasis will be placed on the submission and recording of quality NAMA entries, increasing the number of entries on support and the matching of NAMAs with support recorded in the registry. The secretariat will continue raising awareness of the platform, encouraging and supporting users and undertaking engagement and support activities for potential providers of support, including multilateral and bilateral agencies and banks, and the private sector. This will be achieved, subject to the availability of funding, through a combination of targeted capacity-building, outreach and communication activities, such as:

[6] Detailed information about the outreach strategy is included in chapter II of the annex.

[7] The distribution of the response rate per priority group is presented in chapter II of the annex.

(a) Revising and developing technical materials such as manuals for registry users, baseline scenarios, measurement, reporting and verification, and finance information that will enable the registry users to input accurate and reliable information in the registry;

(b) Supporting the registry users in entering information on new NAMAs;

(c) Assisting NAMA developers to find support by promoting NAMAs and facilitating networking and relationships between NAMA developers and support providers;

(d) Contacting proponents of each individual NAMA entry in the course of 2015 to update the information on the NAMAs;

(e) Using online communication tools (such as webinars, mailing lists and online discussions) as well as in-person events (such as dedicated forums/sessions during NAMA regional workshops, events during sessions of the COP and the subsidiary bodies, and events organized by partners) to build the capacity of the registry users, share knowledge of registry use, highlight best practices in the preparation of NAMAs and match NAMAs with support.

Annex

An analysis of information relating to the extent of the matching, the support available and the engagement with entities

I. Introduction

1. The analysis presented in this annex is divided into three parts as follows:[1]

(a) Matching of nationally appropriate mitigation actions (NAMAs) with sources of support;

(b) Information on engagement and support sources;

(c) Sources of support available for the preparation and implementation of NAMAs.

II. Matching of nationally appropriate mitigation actions with sources of support

2. As at 6 November 2014, the registry had recorded the matching of eight NAMAs with sources of support. The recorded support provided targeted NAMAs seeking support for preparation (six entries) and implementation (two entries). Table 3 provides a summary of the support provided by type of NAMA.

Table 3
Summary of support provided by type of nationally appropriate mitigation action

Type of NAMA	*Number of matching records*
NAMAs seeking support for preparation	6
NAMAs seeking support of implementation	2
Total number of NAMAs supported	**8**

Abbreviation: NAMA = nationally appropriate mitigation action.

3. The total amount of support provided to NAMAs currently recorded in the registry is USD 27,430,492, of which USD 1,940,492 is for the implementation of NAMAs and USD 25,490,000 is for the preparation of NAMAs.

III. Information on engagement and support activities

A. Target groups for engagement and support activities

4. The engagement and support activities were guided by the following objectives (listed according to priority):

(a) Increasing the number of entries on the matching of NAMAs with sources of support recorded in the registry;

[1] Since not all registry entries are complete, some of the analyses presented in this annex are based on a sample size smaller than the total number of entries recorded.

(b) Increasing the number of support entries in the registry;

(c) Increasing the number of NAMA entries in the registry.

5. In line with the objectives of the engagement and support activities, three priority target groups were selected based on existing registry information and content, and on the results of a mapping activity aimed at identifying entities involved in the preparation, implementation and provision of support for NAMAs. A total of 103 entities were identified as target groups for the activities and therefore contacted. Table 4 provides an overview of the entities identified, categorized in terms of the prioritized target groups.

Table 4
Overview of the entities identified and contacted for engagement and support activities

Priority target group	*Type of entity*	*Number of contacted candidates*
Priority target group one	Entities which have provided or received support for NAMAs but have not made entries on support in the registry	31
Priority target group two	Entities likely to support NAMAs	14
Priority target group three	NAMA proponents seeking support for the preparation/implementation of NAMAs that have not made entries in the registry	58
Total		**103**

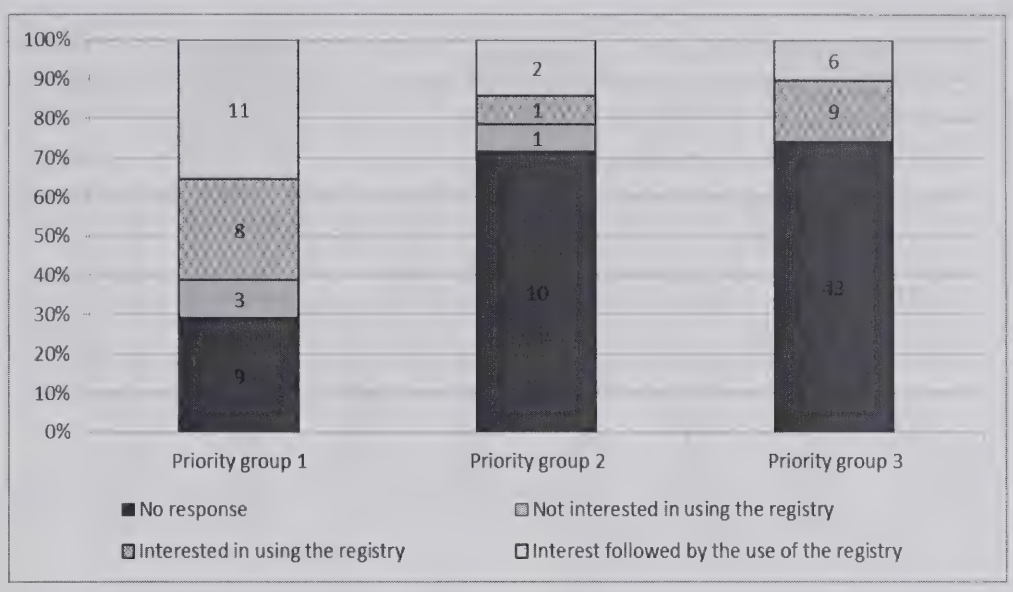
Abbreviation: NAMAs = nationally appropriate mitigation actions.

B. Responses from the target group

6. For the purpose of analysis, the responses are categorized as "no response", "not interested in using the registry", "interest in using the registry" and "interest followed by the use of the registry".

7. Figure 1 shows the distribution of the response rate among the priority target groups.

Figure 1
Characterization of response rate by type of priority target group



8. Out of the 31 entities in priority target group one, 8 entities (more than 25 per cent) showed their interest in using the registry, followed by 11 entities (more than 35 per cent) that showed interest and have already submitted information to the registry. In total, 9 entities (nearly 30 per cent) did not reply at all and 3 entities (nearly 10 per cent) were not interested in using the registry.

9. Out of the 14 entities in priority target group two, 10 entities (77 per cent) did not respond, followed by 1 entry (7 per cent) which manifested no interest in the use of the registry. Further, 3 entities showed interest in using the registry, of which two cases resulted in the submission of information to the registry (more than 14 per cent).

10. Out of the 58 entities in priority target group three, 43 entities (74 per cent) did not respond, followed by 9 entities (15.5 per cent) that showed an interest in using the registry and 6 entities (more than 10 per cent) that showed their interest followed by the use of the registry.

IV. Entries on support sources for nationally appropriate mitigation actions

A. Support available by type of nationally appropriate mitigation actions regional scope and type of support[2]

11. As at 6 November 2014, the registry had recorded 14 sources of support for NAMAs comprising 9 entries for NAMAs seeking support for preparation and 4 entries for NAMAs seeking support for implementation. One source aimed to support NAMAs both for preparation and implementation. Table 5 provides a summary of sources of support available by type of NAMA.

[2] Note that more than one type of NAMA, regional group and type of support can be selected per support record.

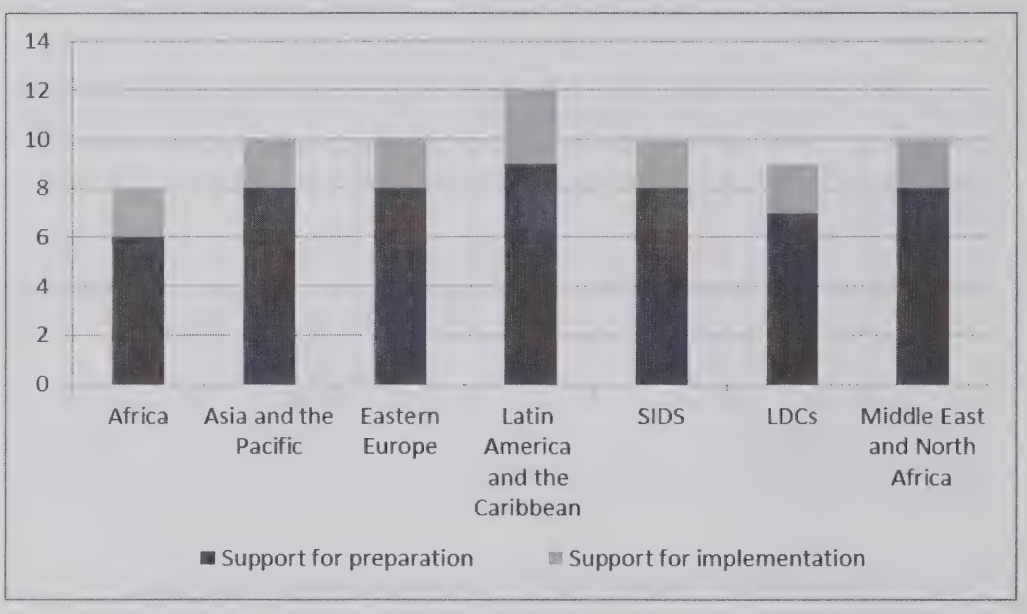
Table 5
Summary of sources of support available by type of nationally appropriate mitigation action

Type of NAMA	*Number of sources of support available*
NAMAs seeking support for preparation	10
NAMAs seeking support of implementation	5
Total number of support entries	**14**

Abbreviation: NAMAs = nationally appropriate mitigation actions.

12. The recorded entries for sources of support were equally distributed among different UNFCCC regional groups. However, in general, the support was mainly aimed at NAMAs seeking support for implementation in all regional groups. Figure 2 provides a summary of the sources of support available by type of NAMA and UNFCCC regional group.

Figure 2
Sources of support available by type of nationally appropriate mitigation action and UNFCCC regional group



Abbreviations: SIDS = small island developing States, LDCs = least developed countries.

13. The support mainly focused on providing financial support for the preparation and implementation of NAMAs. Financial support is offered by 13 out of 14 support entries followed by capacity-building support (offered by 10 entries) and technical support (4 entries), as indicated in table 6.

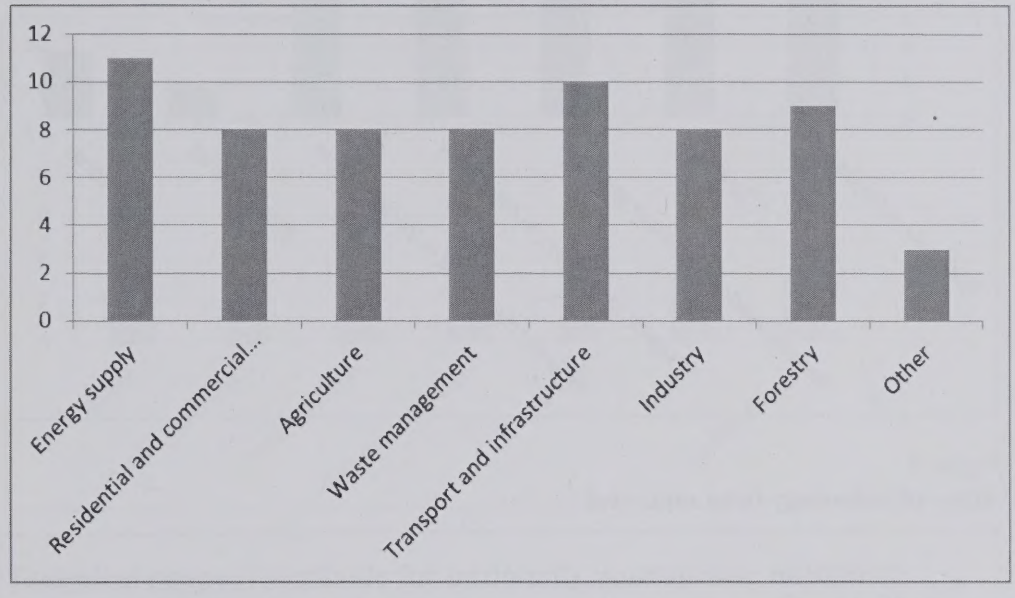
Table 6
Type of support available for nationally appropriate mitigation actions

Type of support	*Total number of entries*
Financial support	13
Technical support	4
Capacity-building support	10

B. Support available by sector, type of action and technology[3]

14. Most support entries (11 entries) identified energy supply as an applicable sector, followed by transport and infrastructure (10 entries), forestry (9 entries) residential and commercial buildings (8 entries), waste management (8 entries) and industry (8 entries). Figure 3 summarizes the distribution of support entries by sector.

Figure 3
Characterization of sources of support by sector



15. The types of actions that were targeted by the support entries were national/sectorial goals (7 entries), strategies (7 entries), national/sectorial policies or programmes (8 entries), project investment in machinery (7 entries), followed by project investment in infrastructure (7 entries). Figure 4 summarizes the types of actions specified within the support entries.

16. The support entries gave similar emphasis to all types of technology, except carbon capture and storage. Figure 5 highlights the types of technology to be supported under the sources of support recorded in the registry.

[3] Note that more than one type sector, action and technology can be selected per support record.

Figure 4
Characterization of support entries by action

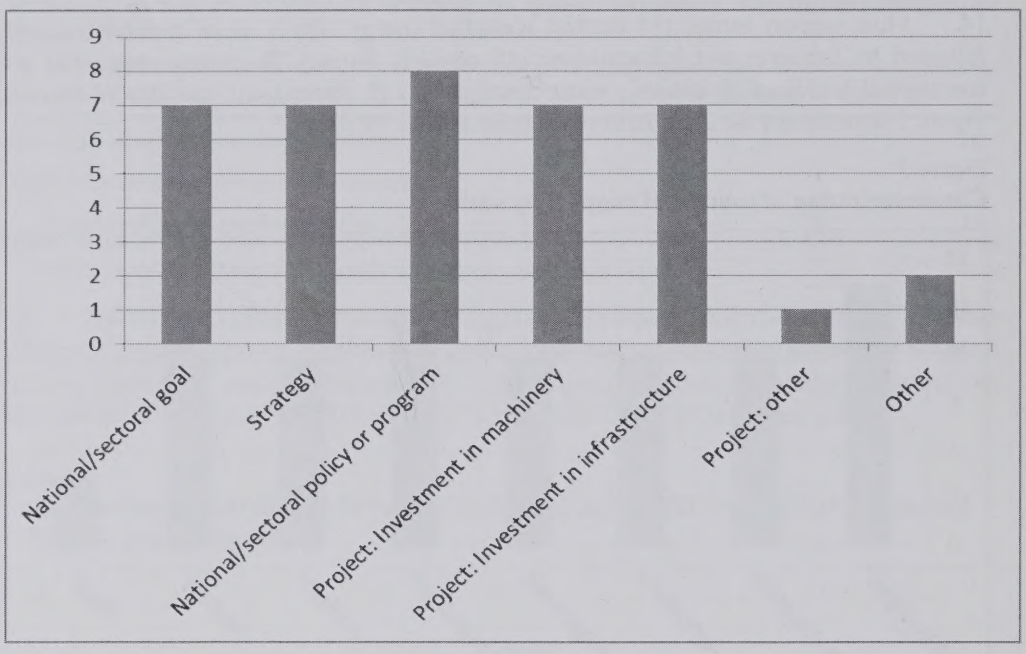
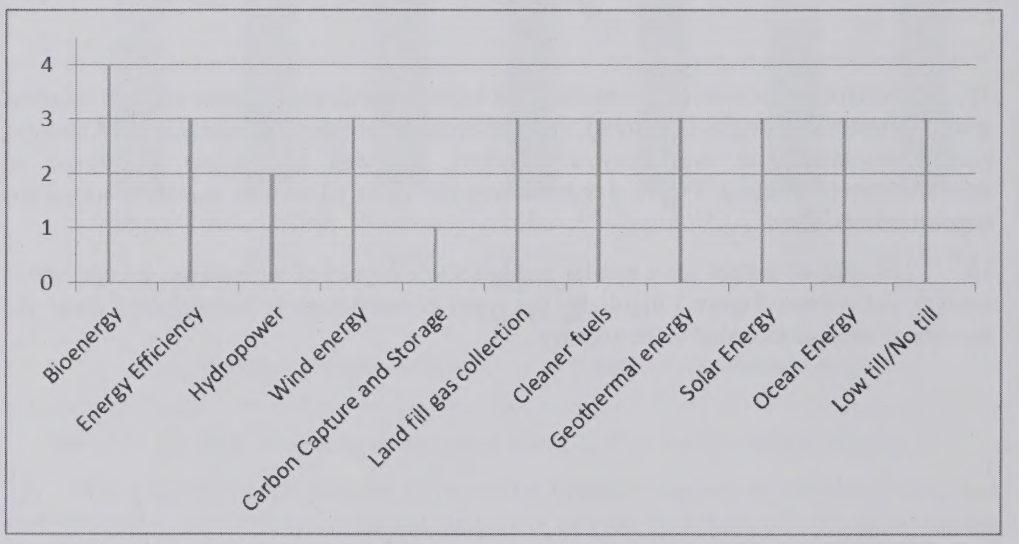


Figure 5
Types of technology to be supported



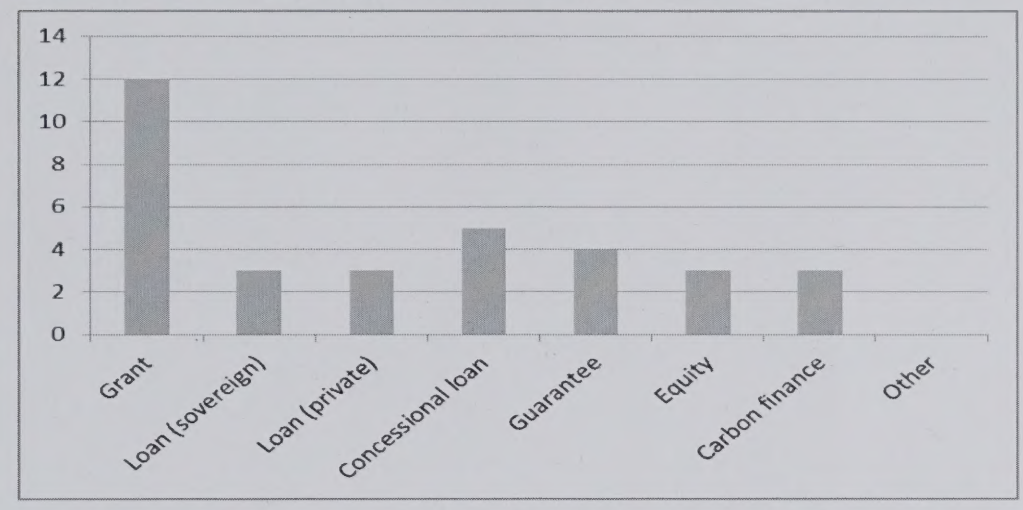
C. Financial support available for nationally appropriate mitigation actions

17. The registry allows users to provide quantitative information regarding financial support, such as the total amount and maximum financial support per NAMA. However, few registry users input such information in the registry. Hence, it is not possible to perform a quantitative analysis and derive conclusions in relation to the financial support provided due to the limited information recorded in the registry.

18. As at 6 November 2014, only three support entries had recorded the total amount of financial support provided, which amounts to USD 4,534,153.

19. Most financial support entries offered grants (12 entries), followed by resources from concessional loans (5 entries), guarantees (4 entries) and equity (3 entries). Figure 6 summarizes the type of financial support available for NAMAs.

Figure 6
Types of financial support available for nationally appropriate mitigation actions



D. Technical support available for nationally appropriate mitigation actions

20. The registry allows users to provide quantitative information regarding technical support, such as the total amount and maximum technical support per NAMA. However, such information is not available for any entries recorded in the registry. Hence, is not possible to perform a quantitative analysis and derive conclusions in relation to the technical support provided due to the non-existence of the required information in the registry.

E. Capacity-building support available for nationally appropriate mitigation actions

21. The registry allows users to provide quantitative information regarding capacity-building support, such as the total amount and maximum capacity-building support per NAMA. However, such information is not available for any entries recorded in the registry. Hence, it is not possible to perform a quantitative analysis and derive conclusions in relation to the capacity-building support provided due to the non-existence of the required information in the registry.

22. Capacity-building support entries equally target actions at the institutional level (10 entries), the individual level (7 entries) and the systemic level (7 entries). Figure 7 provides an overview of the type of capacity-building support available for NAMAs.

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Figure 7

Types of capacity-building support available for nationally appropriate mitigation actions